

U.S. PTO

JC931

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**  
*(Only for new nonprovisional applications under 37 CFR § 1.53(b))*

**APPLICATION ELEMENTS***See MPEP chapter 600 concerning utility patent application contents.*

Attorney Docket No. 1735.0410002/RWE/BEC

First Inventor John A. Drewe et al.

Title Substituted 4H-Chromene and Analogs as Activators of Caspases and Inducers of Apoptosis and the Use Thereof

Express Mail Label No.

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$2,296.00)

Complete if Known

Application Number	(to be assigned)
Filing Date	(herewith)
First Named Inventor	John A. Drewe et al.
Examiner Name	(to be assigned)
Group Art Unit	(to be assigned)
Attorney Docket No.	1735.0410002/RW

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																																																																																																																																																			
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:</p> <p>Deposit Account Number <b>19-0036</b></p> <p>Deposit Account Name <b>Sterne, Kessler, Goldstein &amp; Fox P.L.L.C.</b></p> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Fee (\$)</th> <th colspan="2">Fee Description</th> <th>Fee paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td colspan="2">Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td colspan="2">Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td colspan="2">Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td colspan="2">For filing a request for ex parte reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td colspan="2">Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td colspan="2">Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td colspan="2">Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td colspan="2">Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td colspan="2">Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td colspan="2">Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td colspan="2">Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td colspan="2">Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td colspan="2">Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td colspan="2">Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td colspan="2">Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td colspan="2">Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td colspan="2">Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td colspan="2">Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td colspan="2">Design issue fee</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td colspan="2">Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td colspan="2">Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td colspan="2">Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td colspan="2">Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>481</td><td>40</td><td colspan="2">Recording each patent assignment per property (times number of properties)</td><td>40</td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td colspan="2">Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td colspan="2">For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355</td><td colspan="2">Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td colspan="2">Request for expedited examination of a design application</td><td></td></tr> <tr> <td colspan="6">Other fee (specify):</td> <td></td> </tr> <tr> <td colspan="6">Other fee (specify):</td> <td></td> </tr> <tr> <td colspan="6">SUBTOTAL (2) (\$ 1,546.00)</td> <td>SUBTOTAL (3) (\$ 40.00)</td> </tr> <tr> <td colspan="6">*Reduced by Basic Filing Fee Paid</td> <td></td> </tr> <tr> <td colspan="6">** or number previously paid, if greater; For Reissues, see above</td> <td></td> </tr> </tbody> </table>						Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description		Fee paid	105	130	205	65	Surcharge - late filing fee or oath			127	50	227	25	Surcharge - late provisional filing fee or cover sheet			139	130	139	130	Non-English specification			147	2,520	147	2,520	For filing a request for ex parte reexamination			112	920*	112	920*	Requesting publication of SIR prior to Examiner action			113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action			115	110	215	55	Extension for reply within first month			116	390	216	195	Extension for reply within second month			117	890	217	445	Extension for reply within third month			118	1,390	218	695	Extension for reply within fourth month			128	1,890	228	945	Extension for reply within fifth month			119	310	219	155	Notice of Appeal			120	310	220	155	Filing a brief in support of an appeal			121	270	221	135	Request for oral hearing			138	1,510	138	1,510	Petition to institute a public use proceeding			140	110	240	55	Petition to revive - unavoidable			141	1,240	241	620	Petition to revive - unintentional			142	1,240	242	620	Utility issue fee (or reissue)			143	440	243	220	Design issue fee			144	600	244	300	Plant issue fee			122	130	122	130	Petitions to the Commissioner			123	50	123	50	Petitions related to provisional applications			126	240	126	240	Submission of Information Disclosure Stmt			581	40	481	40	Recording each patent assignment per property (times number of properties)		40	146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))			149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))			179	710	279	355	Request for Continued Examination (RCE)			169	900	169	900	Request for expedited examination of a design application			Other fee (specify):							Other fee (specify):							SUBTOTAL (2) (\$ 1,546.00)						SUBTOTAL (3) (\$ 40.00)	*Reduced by Basic Filing Fee Paid							** or number previously paid, if greater; 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Name (Print/Type)	Robert W. Esmond			Registration No. (Attorney/Agent)	32,893	Telephone	202-371-2600																																																																																																																																																																																																																																														
Signature	<i>Robert W. Esmond</i>			Date	11/06/00																																																																																																																																																																																																																																																

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 \*\*REGISTERED PATENT AGENTS

November 6, 2000

**WRITER'S DIRECT NUMBER:**

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Commissioner for Patents  
 Washington, D.C. 20231

**Box Patent Application**

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
 Appl. No. (to be assigned); filed (herewith)  
 For: **Substituted 4H-Chromene and Analogs as Activators of Caspases and Inducers of Apoptosis and the Use Thereof**  
 Inventors: Drewe *et al.*  
 Our Ref: 1735.0410002/RWE/BEC

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. Fee Transmittal (Form PTO/SB/17) (in duplicate);
2. Utility Patent Application Transmittal (Form PTO/SB/05);
3. U.S. Utility Patent Application entitled:

Substituted 4H-Chromene and Analogs as Activators of Caspases and Inducers of Apoptosis and the Use Thereof

and naming as inventors:

John A. Drewe  
 Sui Xiong Cai  
 Yan Wang

JC931 U.S. PTO  
 09/705840  
 11/06/00

Commissioner for Patents  
November 6, 2000  
Page 2

the application consisting of:

- a. A specification containing:
    - i. 99 pages of description prior to the claims;
    - ii. 42 pages of claims (claims 1-78); and
    - iii. 1 page abstract;
  - b. Five (5) sheets of drawings (Figures 1A-1B; 2-3; 4A-4B; 5A-5C and 6A-6C); and
  - c. An executed Declaration for Patent Application;
4. Authorization To Treat A Reply As Incorporating An Extension Of Time Under 37 C.F.R. § 1.136(a)(3) (in duplicate);
  5. Recordation Form Cover Sheet (Form PTO-1595);
  6. An executed Assignment to Cytovia, Inc., recordation of which is hereby respectfully requested;
  7. An executed Power of Attorney from Assignee;
  8. A Certificate under 37 C.F.R. § 3.73(b) from Assignee with a copy of Assignment attached;
  9. Two (2) return postcards; and
  10. Our check No. 29361 for \$2,296.00 to cover:

\$ 710.00	Basic filing fee (37 C.F.R. § 1.16(a));
160.00	Independent claims in excess of three (37 C.F.R. § 1.16(b));
1,116.00	Claims in excess of twenty (37 C.F.R. § 1.16(c));
270.00	Multiple dependent claim (37 C.F.R. § 1.16(d)); and
40.00	Assignment recordation fee (37 C.F.R. § 1.21(h)).

**STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.**

Commissioner for Patents

November 6, 2000

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It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

**STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.**



Robert W. Esmond  
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RWE/BEC/dab

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Enclosures

OCTOBER 11 2000